



National Institute of Justice

S o l i c i t a t i o n

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Solicitation for Law Enforcement, Courts and Corrections Technology Development, Implementation and Evaluation

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Solicitation Purpose

This solicitation seeks proposals for the development, testing, evaluation, adoption and implementation of new and innovative technologies and techniques to support and enhance law enforcement, courts, and/or corrections operations, particularly at the State and local level, and with an eye toward successfully developing new commercial products for their near-term use.

Proposals submitted under this solicitation should describe projects which will assist criminal justice agencies in their efforts to identify, select, develop, modernize, and make purchasing decisions regarding new technology applications.

There are four major project category areas, which may contain overlaps, to guide the formulation of proposals. Proposals may address one or more of these category areas:

- 1) General Technology Thrust Areas for Law Enforcement, Courts and Corrections.
- 2) Special Law Enforcement, Courts and Corrections Technology Development and Demonstration Projects.
- 3) Behavioral and Organizational Impact of Technological Advances.
- 4) Creative Technology Solutions to Law Enforcement, Courts, and Corrections Problems.

There is an intentional overlap between Category 1) and Category 2) to ensure the technology and key application needs of Law Enforcement, Courts, and Corrections are addressed. Proposals can address one or more of the areas addressed in the solicitation.

This solicitation seeks proposals representing either projects carried out by a single organization or partnerships between the public and private sectors; for example, between a police department and a company with techno-

logical expertise, or a consortium which includes a police department and one or more companies or academic institutions. Partnership groups are encouraged to include as an active member a recognized law enforcement, courts or corrections agency.

Proposals are expected to describe efforts to move technologies in support of law enforcement, courts, and/or corrections operations beyond the current state-of-the-art. Proposals should focus on the research, development, testing, evaluation, adoption, and implementation phases of new technologies, or the use or modification of existing technologies in new or innovative ways. Technological innovations will enable localities to enhance operations in law enforcement, courts, and/or corrections systems, address crime and disorder, and enhance public safety.

An additional focus of this solicitation is an examination of the organizational and behavioral consequences of technology adoption and implementation in law enforcement, courts, and/or corrections operations. Proposals dealing with organizational and behavioral issues should explore the dynamics and examine the impact of the adoption and implementation of new technologies or the modification of existing technologies in law enforcement, courts, and/or corrections settings.

This solicitation is not intended to fund the purchase of existing systems, but rather it is intended to support the development of new technologies or the innovative adaptation of existing technologies to deal effectively with law enforcement, courts, and/or corrections problems.

NIJ expects to have \$10 million to \$15 million available to fund awards made under this solicitation. There are two proposal submittal deadline dates: September 16, 1996, and November 1, 1996. Award decisions for the proposals submitted for the November 1 deadline will be based on remaining funds available.

Figure 1: Technology Assistance Strategic Process Diagram



Background

The United States Department of Justice has the responsibility of implementing the Violent Crime Control and Law Enforcement Act of 1994 (the “Crime Act”), Pub. L. No 103-322, 108 Stat. 1796, (1994), codified as amended, 42 U.S.C. §13701 et. seq.

The Fiscal Year 1996 Omnibus Appropriations Act, Pub. L. No. 104-134, __Stat. __, (1996), which amends the Crime Act, provides that one percent of funds authorized to be appropriated under the Crime Act in fiscal years 1996 through 1998 are to be reserved for Government efforts to assist State and local agencies to identify, select, develop, modernize, and assist in making purchasing decisions of new technologies for use by law enforcement, courts, and correction agencies. Figure 1 illustrates the technology assistance strategic process.

The National Institute of Justice (NIJ), the research and development agency of the U.S. Department of Justice (DOJ), is responsible under the Crime Act for providing funding for technology development projects to enhance law enforcement, courts, and corrections technologies; and the demonstration and evaluation of innovative approaches to the development, application, and utilization of leading edge technologies.

The Need for Enhanced Law Enforcement, Courts, and Corrections Technologies

There is a continuing need to improve the foundations of our understanding of where and how technology can improve the criminal justice system and what impact the introduction of new technologies into the fight against crime has on both criminal justice agencies and the public they serve. Figure 2 shows the foundations of the NIJ Research, Development, Testing and Evaluation Strategic Planning Initiatives that support this solicitation.

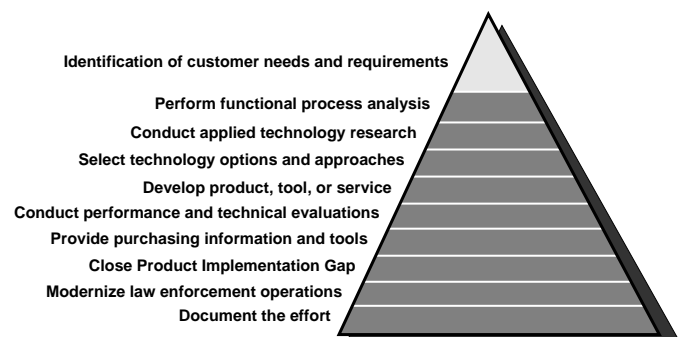
For example, a sizable gap exists in our ability to provide law enforcement with the best policy and procedural advice on police pursuit as well as developing technological methods to safely halt fleeing vehicles or individuals on foot. Much also remains to be known about how to optimize the application of technology and how to change management structures or operations in the face of new technology challenges and opportunities.

This solicitation is open to a wide variety of proposals in order to achieve a balanced mixture of product development, implementation and evaluation projects. This solicitation focusses on near-term (one to three years) development and implementation projects.

A central goal in the effort to prevent and reduce crime and violence in the United States is to provide law enforcement, courts, and corrections officials with modern tools to increase their options in dealing with the unpredictable situations which are a part of their daily duties. Utilization of enhanced technologies can change the way the criminal justice system is managed, and ultimately, how crime prevention and control is achieved in communities throughout the country.

Improved law enforcement, courts and corrections technologies can:

Figure 2: Foundations of NIJ RDT&E Initiatives



- enhance professionalism by giving criminal justice officials the skills, technology, and motivation to act innovatively to solve law enforcement, courts and corrections problems;
- lead to restructuring of agencies and refinement of management techniques to allow the fullest use of an agency's resources;
- serve to increase the effective flow of information from the sources inside and outside of the law enforcement, courts, and correction agencies; and
- enhance the ability of law enforcement, courts, and correction agencies to be more effective and equitable in their service delivery.

Consistent with the letter and spirit of the Crime Act, research and development supported under this solicitation therefore is intended to: (1) improve the variety of technology options available to law enforcement, courts and corrections officials in their day-to-day duties; (2) increase the ability of police to innovatively solve law enforcement problems; (3) develop technologies which may serve as work force multipliers to allow the fullest use of agency resources; (4) promote the effective flow and use of information both within and outside an agency; and (5) improve the responsiveness of law enforcement, courts and corrections officials to enhance the quality of life in the communities they serve. This solicitation further seeks to assist police chiefs, sheriffs, judges, court administrators, wardens and other law enforcement, courts and corrections officials in the assessment of technology improvements they can utilize to better serve their communities.

Technology has already been identified as a potential work force multiplier for criminal justice operations. The key is to identify and bring to law enforcement, courts, and corrections agencies appropriate technologies that enhance their operational efforts. Such technologies must be affordable, reliable and, moreover, effective in the prescribed criminal justice function area.

General Guidelines

Proposals should describe research, development, testing, evaluation, adoption, and implementation of new and innovative equipment or systems to address law enforcement, courts, or corrections problems. Proposals describing innovative and resourceful use of existing technologies to address law enforcement, courts, or corrections problems may also be considered.

Applicants are encouraged to consider and, to the extent possible, utilize matching funds and/or creative cost sharing mechanisms to fully leverage the potential benefit from the proposed technology development, implementation or evaluation project.

Proposers are encouraged to use the resources and expertise of the NIJ National Law Enforcement and Corrections Technology Center (NLECTC) located in Rockville, Maryland, and the regional NLECTCs located in Rome, New York; Charleston, South Carolina; Denver, Colorado; El Segundo, California; and the Border Research and Technology Center (BRTC) located in San Diego, California.

Proposal writers should keep in mind that cost considerations of resulting technology development products are a major concern for law enforcement, courts, and corrections. Most criminal justice agencies around the Nation are quite small and under funded. Most agencies have a very limited portion of their budgets available for equipment, technology, supplies, or computer procurement. Costs associated with personnel and related overtime; vehicle fuel and maintenance; and communications take up the vast majority of the typical law enforcement, courts or corrections agency's budget.

These and related factors all influence the timeliness and the degree to which new technologies are accepted by law enforcement, courts, and corrections administrators. Thus, a number of considerations should be taken into account when determining the usefulness of a proposed new technology development effort:

- How important is the new technology to the overall operation of the law enforcement, courts, and/or corrections agency? What will be its impact on organizational structure and personnel requirements?
- How much will the technology cost to purchase, customize to fit local needs (if necessary), and maintain?
- How many units will be needed?
- What are the hidden costs? For example, new computers may require additional data input personnel.
- What, if any, are the net savings in labor or other costs?
- Will the technology help law enforcement, courts, and/or corrections officers to better serve the community?
- What is the value-added service to the community?

- How much training is required to use and maintain the technology?
- How will the courts view the technology — in terms of liability and interference with personal freedom? What constitutional or other legal issues may arise from utilization of the technology?

Major Development, Implementation and Evaluation Categories

There are four major research and development categories for which grants, contracts, or other transactions will be awarded in support of the law enforcement, courts and/or corrections technology development project. All proposals should include a discussion on the value of the concept proposed—that is, how it will improve the capabilities of law enforcement, courts and/or corrections agencies. These four major research and development categories are:

- 1) General Technology Thrust Areas for Law Enforcement, Courts and Corrections.
- 2) Special Law Enforcement, Courts and Corrections Technology Development and Demonstration Projects.
- 3) Behavioral and Organizational Impacts of Technological Advances.
- 4) Creative Technology Solutions to Law Enforcement, Courts, and Corrections Problems.

For each proposal submitted in response to the four major research and development categories, the applicant (industry, academia, non-profit organizations, public agencies, and individuals) is encouraged to develop projects that directly benefit, in the near-term, law enforcement, courts, and/or corrections operations. Proposals that include active partnerships and cost sharing mechanisms are encouraged.

Applicants are expected to understand and describe current law enforcement, courts and/or corrections practices where the proposed technology could be applied. Applicants should also be cognizant of publicly available information on technologies under development that may compete with their proposed approach and distinguish, as far as practical from known information, their unique differentiating features.

Category 1:

General Technology Thrust Areas for Law Enforcement, Courts, and Corrections.

The focus of this category is on the research, development, test, and evaluation of technologies that address solutions to identified current needs of law enforcement, courts and/or corrections operations. The needs are based on input from surveys, studies, and councils provided to the National Institute of Justice.

The following focus areas have been identified as key to the identification, selection, and development of new technologies for use by law enforcement, courts, and/or corrections agencies. While these areas have been uniquely separated, there are many instances of overlap of topics between all of the areas. There is also an intentional overlap between Category 1) General Technology Thrust Areas for Law Enforcement, Courts and Corrections, and Category 2) Special Law Enforcement, Courts and Corrections Technology Development and Demonstration Projects. This overlap is to ensure the technology and key application needs of Law Enforcement, Courts, and Corrections agencies are addressed. (Note: proposals can address one or more of the areas addressed in the solicitation.)

Within the following focus areas, specific topics have been identified that are judged to meet critical law enforcement needs. These topics are not considered to be exclusive; the Government will entertain ideas in other areas.

Focus Areas

(a) *Less-Than-Lethal (LTL) Area*. Technologies are sought that will provide new or significantly improved options to conventional use-of-force methods sanctioned by law enforcement or corrections agencies to counter violent behavior or effect a resisted arrest. Scenarios where LTL technologies, devices, and/or techniques might be appropriately employed include, but are not limited to: (1) confrontation with subjects who assault officers or refuse to comply with lawful orders, and who may be armed with a non-firearm weapon; (2) encounters with individuals on foot advancing toward or fleeing from an officer when ordered to stop; (3) riots, civil disturbances, or crowd control; (4) encounters with fleeing vehicles (vehicle stopping techniques); (5) arrestees, prisoners, or individuals who become violent or uncooperative; and (6) barricaded individuals or groups - with or without hostages.

Safety of proposed devices from the effect produced to the means of deployment to both officers and subjects is essential and must be thoroughly addressed. Any disabling effect must be of a short duration and completely reversible. The expectations of any reduction in the incidence of death or injury to officers, suspects, prisoners, or the general public to be achieved by the proposed technology must be clearly and convincingly articulated. Cogent arguments must be made concerning the proposed technique or device that is quantitatively more effective and/or safer than currently used products to achieve the same objective.

(b) *Officer Protection and Safety Area.* Technology development is needed to address techniques, materials, and methods to improve the protective and safety equipment used by law enforcement, courts, and corrections officials. Emphasis should be placed on improving the degree of protection, comfort, fit, ease of use, and cost of protection equipment.

Specific applications of protection equipment includes, but is not limited to: (1) body armor (torso and extremity); (2) puncture/slash/pathogen resistant gloves/armor; (3) helmet/face shields; and (4) restraints.

Technology development is also needed to indirectly address (i.e., preventative techniques that avoid confrontation and potentially dangerous situations) officer protection and safety in areas such as (5) bio-medical/telemedicine technology; (6) non-intrusive drug testing; (7) smart guns; and (8) laser systems.

(c) *Situational Awareness and Crime Prevention Area.* This area addresses various applications that require unique or innovative sensor, detection, monitoring, surveillance, communications, and processing techniques and products. Emphasis should be placed on developing concepts that are easy to use, require low power (primarily for man-portable or unattended applications), and inexpensive to purchase and operate. Applications and need areas include, but are not limited to, the following: (1) through-wall sensors; (2) surveillance and monitoring (perimeter/physical security; asset protection; officer or offender tracking by Global Positioning System or other technologies; prison staff/inmate tracking; domestic violence or stalking alarms; court surveillance; probation/parole personnel monitoring; etc.); (3) sniper detection/location; (4) explosives/drug detection; (5) covert wires or sensors; (6) interagency communications interoperability;

(7) continuous communication coverage in urban or rural environments; (8) secure communications; (9) image/audio processing and enhancement (including noise and false alarm reduction); (10) video/data capture, transmission (including video conferencing), and/or compression (including noise and false alarm reduction); (11) language translation; (12) speaker identification; (13) techniques to determine “original” digital recordings for evidential purposes; (14) data exchange remediation; (15) 911 system to handle/locate cellular callers and more efficiently handle information flow from caller to responders; (16) caller/officer locator transmitter; (17) concealed weapons detection; and (18) information management in prison and court systems.

(d) *Forensic Sciences Area.* Forensic Sciences technologies are used to identify and develop evidence to solve criminal cases. A major goal of this focus area is to develop DNA technology that can reduce costs and processing time for DNA testing and that can enable DNA testing to be performed at the crime scene. Technologies that can address this goal include, but are not limited to, mass spectrometry, robotics, and micro-chips. Other Forensic Science technology areas of interest include, but are not limited to: DNA/serology, firearms, trace evidence, odontology, questioned documents, fingerprints, pathology, entomology, and toxicology. Of these, technologies which identify or develop the scientific bases of forensics are of interest, especially odontology, questioned documents, and trace evidence.

(e) *Simulation and Modeling Technology for Training and Operational Use Area.* The operational duties and tasks required of law enforcement, courts, and corrections personnel are becoming increasingly complex, diverse, situation-dependent, and highly interactive. Traditional classroom training techniques are somewhat limited because they lack realism. While live exercises provide the necessary realism, they are expensive, manpower intensive, sometimes unfeasible, and potentially unsafe. New methods of training are required to address areas such as, but not limited to: (1) use of force or judgment training; (2) officer safety/survival training; (3) event modeling and simulation; (4) capturing and use of lessons learned; (5) team engagement training; (6) weapons training; (7) policy and procedures training; (8) interpersonal skill development; and (9) supervisor, management, and resource allocation training. Training technologies, such as computer-based training, interactive/multi-media, video-

based, distributed, and virtual reality should be considered.

Simulation and statistical modeling technology can also be used to enhance operational capability and capacity. Areas this technology can be applied to include, but are not limited to: (1) geo-coded crime information that may provide a basis for new deployment strategies; (2) statistical modeling, neural network, or expert-based methods to classify probationers or other criminals on community supervision; (3) general crime prevention practices; and (4) other areas that will improve strategies and procedures to more efficiently and effectively use law enforcement, courts, or corrections resources. The simulation and modeling technologies should be inexpensive to procure, easy to learn and sufficiently flexible to adapt to specific needs of individual law enforcement and corrections agencies.

Category 2:

Special Law Enforcement, Courts, and Corrections Technology Development and Demonstration Projects.

There are several high priority, special project areas delineated below that have been identified by the Law Enforcement and Corrections Technology Advisory Council (LECTAC) and highlighted for accelerated near term development and demonstration. Category 1) and Category 2) intentionally overlap to ensure the technology and key application needs of Law Enforcement, Courts, and Corrections are addressed.

These projects include efforts in:

- (a) Information Technology and Database Integration Assessment and Adoption;
- (b) Concealed Weapons Detection;
- (c) Vehicle Stopping Technology;
- (d) Non-invasive Drug Testing;
- (e) Crime Mapping;
- (f) Integrated Smart Gun/Laser Systems;
- (g) Electronic Monitoring; and
- (h) Improved Judicial Processing, Court Proceedings, and Corrections Monitoring

The following focus areas have been identified as key projects that support the Crime Act focus on identifica-

tion, selection, and development of new technologies for use by law enforcement, courts, and corrections agencies. The following special projects have been identified to meet critical near term law enforcement needs, and specific proposals are herewith solicited.

Focus Areas

(a) *Information Technology and Database Integration Assessment and Adoption.* Due to rapid technological growth; hardware and software implementation costs; and training requirements, implementation of information technology has not fully been adopted by the law enforcement, courts, and corrections community. Proposals are solicited that examine information technology needs and methods for computer justice information database integration from State and local organizations.

Proposals are solicited that address the creation of a "National Assessment of Law Enforcement, Court, and Corrections Criminal Information Database Systems". Today we have a series of stand-alone databases that do not provide local, regional, or national connection, effective networking, or timely access for the communities' effective utilization. Proposals are solicited that would (1) delineate current law enforcement, courts, and corrections databases; (2) provide brief descriptions that characterize the current data bases; (3) illustrate the interdependence of current database systems or the lack thereof; (4) describe the technical, organizational, and operational barriers to linking separate databases within, to and from Federal, State, and local organizations; (5) describe the common database needs and new or modified requirements for law enforcement, court, and corrections database applications; (6) describe which of the current databases could or should be linked together; and (7) develop a conceptual plan for implementation of integrated database law enforcement and corrections, courts, and corrections applications. These databases could provide for the examination of the need for, current utilization of, or development and demonstration of new or enhanced multi-jurisdictional outstanding warrant databases, sex offender databases, homicide databases, and abuser / batterer / stalker-type databases. Other appropriate databases could also be included in this effort.

Proposals are also solicited to address the potential for integration of existing unique stand alone State and local law enforcement, courts, and corrections databases (gang tracking, abuser / batter / stalker tracking, and crime

mapping, etc.) that support large, medium, and small size law enforcement, corrections, and other criminal justice organizations.

Proposals should consider the viability of facilitating increased data flow between law enforcement, courts, and corrections agencies, as well as increased data flow between and among jurisdictions. This effort could include the creation of an on-going assessment and or evaluation of key information on the databases currently available in State and local law enforcement, courts, and corrections organizations. The results of this database survey and recommendations would focus on the integration and broader use of “benchmark/best practice” information technology database products.

Proposals are solicited that address information sharing between criminal justice agencies and the evaluation of barriers to information technology (computers, integrated unique software products, special purpose application software products, and management practices) adoption and modernization.

In the realm of post-conviction release, information technologies for case management are needed. Tools to facilitate the tracking of probationer/parolee progress with respect to conditions of release might include detailed electronic checklists for an individual’s terms of release. Automated, hand-held systems to provide for direct input by officers may be desirable.

(b) *Concealed Weapons Detection.* The increasing illegal use of handguns by juveniles, and the growing number of States that support concealed weapon permits to the general public, has given rise to increasing concern by the law enforcement and court community in being able to detect concealed weapons. The National Institute of Justice, in concert with the Department of Defense, are the leaders in the development of concealed weapon detection technology. NIJ is soliciting new and innovative concealed weapons detection technology for development and demonstration. Current concealed weapons technology focusses on extremely low-dose back-scatter X-rays, passive millimeter wave imaging, low intensity electromagnetic or “Heaviside” pulse technology, long wave infrared receivers, radar and ultrasound technology, passive magnetic gradient technology, and low-frequency magnetic imaging technology. Proposals are solicited for new and innovative concealed weapons detection technology that is cheaper, easier to use, and portable.

(c) *Vehicle Stopping Technology.* Vehicle pursuit has been identified by the law enforcement community and the general public as a very significant area of concern. The LECTAC places vehicle stopping technology in the top five priorities for near-term development. Proposals are solicited for new and innovative technologies, procedures, and concepts that can be effectively used to stop a fleeing vehicle that will avoid injuring the pursuers, suspects, and innocent bystanders. This technology could be for fixed border crossing points, police vehicle-based systems, hand-held portable, and airborne based systems.

(d) *Non-invasive Drug Testing.* Testing for drug use or impairment is a continuing concern by law enforcement, courts, and corrections officers. Proposals are solicited for innovative drug testing technologies that address new approaches such as hair analysis, eye tracking, telemetered perspiration, micro-assay card, drug abuse relay bracelet/patch and non-invasive blood sensors. The focus of this effort is to develop and demonstrate lower cost non-invasive non-urine based technology that can be used for screening and actual drug testing.

(e) *Crime Mapping.* The intersection between information technology and presentation of current crime data for community oriented policing analysis and action is being developed in several communities. Proposals are solicited for the identification, selection, development, and demonstration of innovative crime mapping products (hardware and software) as well as software analysis tools. Software analysis tools include, but are not limited to, the inferential analysis of spatial data that will improve the ability to evaluate interventions and promote development of early warning systems. Assessment of currently available and under development crime mapping products and tools could be followed by an analysis that evaluates the current state of the practice and recommends national demonstration options.

(f) *Integrated Smart Gun/Laser Systems.* There is growing interest and support for the development and demonstration of “Smart Gun” technology. These initiatives are in part driven by increasing liability cost issues, and the need to develop integrated weapons systems that include “Smart Gun” self-protection features and laser aiming “point and avoid-shooting” less than lethal technology. Proposals for the development of integrated “Smart Gun” and laser aiming technology are solicited. This effort can address these technologies separately or together. Joint

proposals from weapons and/or laser organizations are welcome. The key is to address the reduction of cost of the final integrated product.

(g) *Electronic Monitoring.* Electronic monitoring for persons on pre-trial release, probation, or parole is in widespread use, but the number of individuals covered is still relatively small. Proposals are sought for assessment of the policy, public acceptability, liability, and legal implications of continuous electronic monitoring for persons on pre-trial release, probation, or parole. Proposals are solicited on the enhancement of existing electronic monitoring technology, including, but not limited to, the implementation of global positioning systems that would facilitate the monitoring of specialized populations including sex offenders and stalkers; and the integration of substance abuse technologies. Proposals are also solicited for lower cost, reliable (i.e., low false alarms), continuous electronic monitoring technology that could be deployed to more communities in the near-term.

(h) *Improved Judicial Processing, Court Proceedings, and Corrections Monitoring.* Scheduling conflicts and travel limitations among judges, attorneys, law enforcement officers, probation officers, victims, defendants and witnesses often result in delays in the judicial process. Technologies to increase efficiencies and speed the time frame of judicial proceedings and correction monitoring might include, but are not limited to: (1) the application of secure teleconferencing mechanisms to conduct judicial proceedings; (2) advanced software applications to optimize scheduling management; (3) database interoperability to maximize court and probation records and access; and (4) remote check-in capability for paroled or community supervised criminals.

Category 3:

Behavioral and Organizational Impacts of Technological Advances.

Purpose: While considerable literature about technology development and transfer exists, there is a need for more knowledge and greater understanding about the infusion and impacts of specific new technologies within the criminal justice system. This part of the solicitation seeks proposals that explore the dynamics of technology infusion processes, and the resulting behavioral, operational, and organizational consequences of technologies which have,

or could be, introduced into law enforcement, courts, and/or corrections.

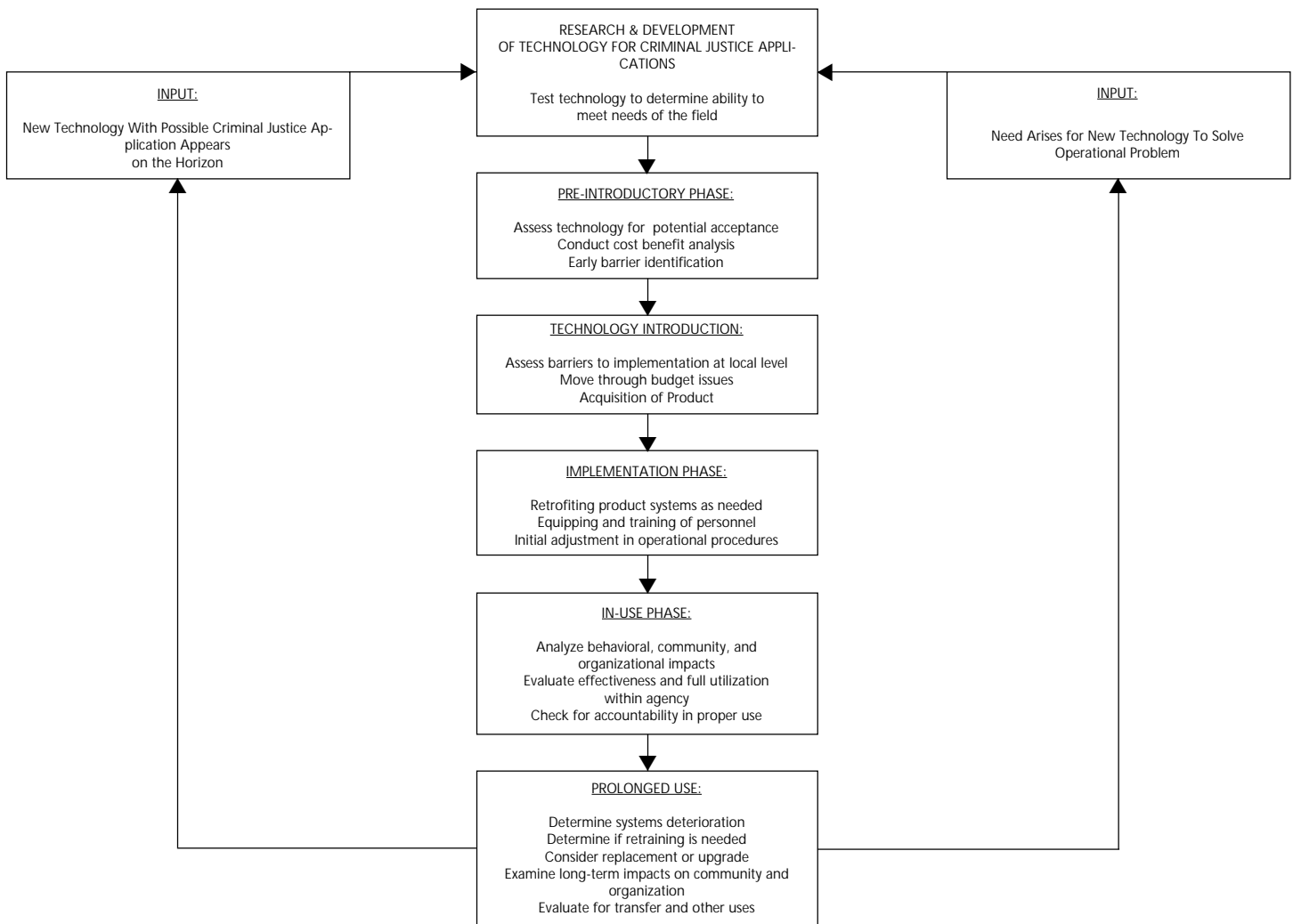
Figure 3 presents a conceptual model for the technology infusion process into communities and organizations.

Key Issues to be Examined: Key issues to be examined through this solicitation include, but are not limited to: (a) early identification and the overcoming of barriers to technology adoption and modernization; (b) adoption processes through which existing technologies not currently in use by the criminal justice system can be identified, modified, and/or imported for law enforcement, courts, or correctional use; (c) development of methods to identify significant new areas of technologies that respond to emerging social and demographic trends; examine and assess the need for proposed technologies, particularly through cost-benefit analysis; and to predict the acceptance by stakeholders (including component managers and staff, community members and organizations, policy makers, etc.) of technology development and use within the criminal justice system; and (d) ways to increase the capacity of criminal justice personnel to employ technologies innovatively, to the fullest potential, while also ensuring implementation and operational accountability; and to develop and evaluate effectiveness of implementation efforts.

Additional issues to consider might include the implications of technology use for an organization's structure, the effect on performance and practices of law enforcement, courts, and/or corrections officials, requirements for training, issues of potential liability or other legal or constitutional issues pertaining to the use of the technology, and measurable outcomes in terms of reduced criminal activity, or other indicators of benefits to public safety.

Proposals accepted under this portion of the solicitation will conduct research on the interplay between the introduction of technologies to criminal justice agencies, and behavioral or organizational processes. Areas of interest include, but are not limited to, the analysis of lessons learned regarding the introduction of technologies to criminal justice agencies, assess the current state of use of particular technologies in criminal justice agencies, and/or evaluate the introduction of a specific technologies in criminal justice agencies. One or more specific technologies can be used as the basis for study in one or more criminal justice agencies. Technology categories which are appropriate to serve as a basis for study include, but

Figure 3: The Technology Infusion Process



are not limited to computerized information management, communications, area/facility control, body and vehicle armor, explosives and contraband drug detection and tracking, forensics, medical (including telemedicine), prisoner and subject control, surveillance and tracking, simulation and training, vehicle stopping, weapons detection and disablement, and interagency access to data-bases.

Category 4:

Creative Technology Solutions to Law Enforcement, Courts, and Corrections Problems

The intent of this category is to serve as an “open window” to encourage the submission of research, development,

and application proposals which will result in creative, innovative technologies to benefit law enforcement, courts, and/or corrections efforts. All proposals in technology application or practice areas not addressed in the previous three categories will be considered in this category.

The burden of proof in demonstrating the relationship and benefit law enforcement, courts, and/or corrections agencies will derive from the applicant’s proposal rests entirely with the applicant.

As with other category areas, proposal writers are reminded that technological solutions should serve as work force multipliers which relieve law enforcement, courts, and/or corrections officials of excess burdens in order to substantially enhance their ability to efficiently perform

their duties. Such research, development, testing, evaluation, adoption, and implementation projects should address real and significant law enforcement, courts, and/or corrections problem areas.

Applicants are reminded that the resulting technological solutions should be affordable to acquire as well as to maintain.

Application Procedures

Requirements

The components listed below comprise a complete application. All forms listed are required, except where specific exceptions are noted. All forms required to complete an application are included at the end of this document. Applicants should be aware that the volume and complexity of applications received are an administrative and logistical workload that precludes NIJ staff from editing applications and contacting applicants to make corrections. Omission of a form; unsigned forms; or applications not collated in the order listed below are among the reasons for which an application can be rejected for administrative reasons without further consideration nor appeal:

Tab A. SF 424, Application for Federal Assistance [signature required].

Tab B. OJP Form 7150/1, Budget Detail Worksheet.

NOTE: Attach a copy of your approved Federal indirect cost rate, when applicable. See item 11 under the “Recommendations to Proposal Writers” section for more information on indirect costs.

Tab C. Budget Narrative.

Tab D. OJP Form 4000/3, Assurances [signature required].

Tab E. OJP Form 4061/6, Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements [signature required].

Tab F. OJP Form 7120/1, Accounting System and Financial Capability Questionnaire [signatures required, including that of an independent CPA].

NOTE: This form is required only for first-time NIJ applicants from nonprofit and for-profit organizations. All other

applicants should insert a sheet of paper with the following phrase centered on the middle of the page:

This Tab Not Applicable

Tab G. Project Abstract.

Tab H. Project Narrative.

Tab I. Qualifications of the Applicants.

Due Date. Ten (10) copies of **fully executed proposals** should be sent to:

Solicitation for Law Enforcement, Courts and Corrections
Technology Development, Implementation and Evaluation
National Institute of Justice
Office of Science and Technology, Room 903
633 Indiana Avenue, N.W.
Washington, D.C. 20531

Completed proposals **must be received** at the National Institute of Justice by the close of business on **September 16, 1996**, or **November 1, 1996**. Extension of these deadlines will not be considered under any circumstances.

Discussion of the Application Package

Project Abstract. The abstract of the full proposal should highlight the research and development project's purpose (need or application addressed), technical approach, value added with technical approach, cost (both proposed effort and end-product cost), and proposed individual or partnership efforts. The abstract should not exceed one page.

Project Narrative. Included among the components of the proposal's project narrative should be sections addressing the following areas:

- **Description of the technology research and development project.** Applicants should give a detailed description of the proposed research and development technology project. A description of the law enforcement, courts, or corrections problem or challenge to be addressed by the proposal should be included, as well an explanation of how the proposed technology could be utilized as a work force multiplier in law enforcement, the courts, and/or corrections. Applicants should include an explanation of the attributes of the technology which make

it sufficiently different from any other currently available or in-development technology. They also should offer a per unit cost forecast that would make any product resulting from the research and development realistically affordable given the severe budgetary limitations of the vast majority of law enforcement, courts, and corrections agencies throughout the United States.

• **Description of the project team.** Projects may be carried out by either an individual organization acting independently, or by a partnership group with a law enforcement, courts, and/or corrections organization playing an active role in the technology development process. If the project is to be carried out by a partnership group, applicants should provide a description of the active partnership between a law enforcement, courts, and/or corrections agency and a private company, academic institution or other organization(s) to implement the research and development project. Applicants are reminded that assurance of active input and participation from a recognized law enforcement, courts, and/or corrections agency throughout the term of the project is a central factor in determining whether a proposal will receive a grant award.

• **Management plan/project implementation plan.** Applicants should provide a sufficiently detailed plan that outlines the major activities (tasks) involved in implementing the project, describes how resources will be allocated to implement the project, describes how the project will be managed, and includes a schedule (time line) for completing major aspects of the project.

Qualifications of the Applicants. The proposal should include résumés. Applicants should demonstrate education, current knowledge, and recent experience in field(s) relevant to the technology to be developed.

Budget and Budget Narrative. Applicants should provide an appropriate budget along with a detailed budget narrative that justifies all costs and provides a basis for computation of these costs.

Award Period. In general, NIJ limits its grants and cooperative agreements to a maximum period of twelve (12) to twenty-four (24) months. However, longer budget periods may be considered, and there may exist the possibility of renewal.

Award Amount. NIJ expects to have \$10 million to \$15 million available to fund awards made under this solicitation.

It is anticipated that this amount will support numerous awards. Actual individual funding allocations will be based on the quality of proposals submitted.

Certifications. Applicants should read and sign the Certifications form regarding lobbying, debarment, suspension, and a drug-free workplace included in this solicitation. Signing this form commits the applicant to compliance with the certification requirements under 28 CFR Part 69, “New Restrictions on Lobbying,” and 28 CFR Part 67, “Government-Wide Debarment and Suspension (Non-procurement) and Government-Wide Requirements for Drug-Free Workplace (Grants).” The certification will be treated as a material representation of fact, upon which reliance will be placed by the U.S. Department of Justice in making awards.

Letter of Intent. NIJ is working to streamline its solicitation processing system to accommodate the volume of proposals anticipated under this and other Crime Act solicitations. Grant applicants can help in a significant way by sending a non-binding letter of intent **at least two weeks prior to the closing date for submission of their proposal**. NIJ will use these letters to forecast the number of peer panels it needs and to identify conflicts of interest among potential reviewers.

There are several ways to transmit the notification: fill out the letter of intent form on the last page of this solicitation, or draft a letter with the necessary information and mail it to the address listed above. The notification may also be faxed to: (202) 307-9907; or it can be transmitted via electronic mail to: SL168@OJP.USDOJ.GOV.

Cost Sharing. As stated above, proposal writers are encouraged to explore opportunities to utilize matching funds and/or other creative cost sharing mechanisms to fully leverage the potential benefit from the proposed technology development project.

Points of Contact

Applicants are strongly encouraged to contact NIJ to discuss topic viability, administrative questions, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to the attention of one of the following Program Managers at the address stated previously for application submission:

Mr. Trent DePersia (focus areas: All);
 Dr. Raymond Downs (focus areas: Less-Than-Lethal and Concealed Weapons Detection);
 Dr. Richard Rau (focus area: Forensics);
 Dr. Steven Edwards (focus area: Category 3)

or contact the relevant program manager by fax at 202-307-9907, or by electronic mail at SL168@OJP.USDOJ.GOV. Please include the name of the relevant program manager in your correspondence. Applicants may also contact the Justice Response Center at (800) 421-6770, or (202) 307-1480 for general information. Inquiries may also be sent to the Justice Response Center by fax at 202-616-9249.

Selection Criteria

Proposals will be selected for funding through a technical, operational, capability and business decision process with recommendations from a NIJ peer review panel. The peer review panel will consist of members with technical and operational expertise in the subject areas of this solicitation.

Evaluations will be performed using the following criteria:

1. Quality and Technical Merit

- Innovation; potential for revolutionary advance
- Soundness of approach
- Potential for highly reliable use in Law Enforcement, Courts, and Corrections
- Awareness of state-of-art; ability to apply the work of others
- Design of demonstration systems
- Usefulness to Law Enforcement, Courts and/or Corrections

2. Relevance to Law Enforcement, Courts, and/or Corrections

- Well defined and realistic problem domains
- Potential for revolutionary advance to Law Enforcement, Courts, and/or Corrections operations
- Relevance of demonstration plan to application domain

- Ability to evaluate contribution to Law Enforcement, Courts, and Corrections operations

3. Capabilities and Experience

- Qualifications/demonstrated productivity of personnel
- Quality of related experience of personnel
- Responsiveness to goals of solicitation
- Ability to manage proposed effort
- Adequacy of resources to perform effort

4. Cost Realism and value of proposal to law enforcement, courts, and corrections agencies

- Total cost relative to benefit
- Facilities and staff at realistic cost levels
- Cost-effective use of existing equipment and software
- Cost-effective technology transition

Monitoring

Each award under this solicitation will be monitored according to the Office of Justice Programs (OJP) Handbook 4500.2C (revised Chapter 7 Monitoring).

Products

In addition to any technology developed through the grant award, at a minimum the project should include a summary report of activities and accomplishments.

Grant Funds Must Supplement and Not Supplant

Grant funds may not be used to replace State or local funds (or, where applicable, funds provided by the Bureau of Indian Affairs) that would, in the absence of Federal aid, be available or forthcoming to or for law enforcement purposes. The possibility of supplanting will be the subject of careful application review, post-award monitoring, and audit. Any supplanting of non-Federal funds by grant funds is a ground for potential suspension of funding or termination of grant funding, recovery of funds already provided, and other civil or criminal sanctions.

Eligibility requirements

NIJ awards grants to, or enters into cooperative agreements with, educational institutions, non-profit organiza-

tions, public agencies, individuals, and profit making organizations that are willing to waive their fees.

Recommendations to Proposal Writers

Over the past four years, NIJ staff have reviewed approximately 1,500 grant applications. On the basis of those reviews and inquiries from applicants, the Institute offers the following recommendations to help potential applicants present workable, understandable proposals. Many of these recommendations were adopted from materials provided to NIJ by the State Justice Institute, especially for applicants new to NIJ. Others reflect standard NIJ requirements.

The author(s) of the proposal should be clearly identified.

Proposals that are incorrectly collated, incomplete, or handwritten will be judged as submitted or, at NIJ's discretion, will be returned without a deadline extension. No additions to the original submission are allowed. The Institute suggests that applicants make certain that they address the questions, issues, and requirements set forth below when preparing an application.

1. What is the subject or problem you wish to address? Describe the subject or problem and how it affects the criminal justice system and the public. Discuss how your approach will improve the situation or advance the state of the art of knowledge or state of the science and explain why it is the most appropriate approach to take. Give appropriate citations to the research literature. The source of statistics or research findings cited to support a statement or position should be included in a reference list.

2. What do you want to do? Explain the goal(s) of the project in simple, straightforward terms. The goals should describe the intended consequences or expected overall effect of the proposed project, rather than the tasks or activities to be conducted. To the greatest extent possible, applicants should avoid a specialized vocabulary that is not readily understood by the general public. Technical jargon does not enhance an application.

3. How will you do it? Describe the methodology carefully so that what you propose to do and how you would do it is clear. All proposed tasks should be set forth so that a reviewer can see a logical progression of tasks and relate those tasks directly to the accomplishment of the project's goal(s). When in doubt about whether to provide a more

detailed explanation or to assume a particular level of knowledge or expertise on the part of the reviewers, err on the side of caution and provide the additional information. A description of project tasks also will help identify necessary budget items. All staff positions and project costs should relate directly to the tasks described. The Institute encourages applicants to attach letters of cooperation and support from agencies that will be involved in or directly affected by the proposed project.

4. What should you include in a grant application for a program evaluation? If a grant application is for a program evaluation, describe how the evaluation will determine whether the proposed program, training, procedure, service, or technology accomplished the objectives it was designed to meet. Applicants seeking support for a proposed evaluation should describe the criteria that will be used to evaluate the project's effectiveness and identify program elements that will require further modification. The description in the application should include how the evaluation will be conducted, when it will occur during the project period, who will conduct it, and what specific measures will be used. In most instances, the evaluation should be conducted by persons not connected with the implementation of the procedure, training, service, or technique, or the administration of the project.

5. How will others learn about your findings? Include a plan to disseminate the results of the research, evaluation, technology, or demonstration beyond the jurisdictions and individuals directly affected by the project. The plan should identify the specific methods that will be used to inform the field about the project such as the publication of journal articles or the distribution of key materials. Expectations regarding products are discussed more fully in the following section, "Requirements for Award Recipients." A statement that a report or research findings "will be made available to" the field is not sufficient. The specific means of distribution or dissemination as well as the types of recipients should be identified. Reproduction and dissemination costs are allowable budget items. Applicants must concisely describe the interim and final products and address each product's purpose, audience, and usefulness to the field. This discussion should identify the principal criminal justice constituency or type of agency for which each product is intended and describe how the constituent group or agency would be expected to use the product or report. Successful proposals will clearly identify the nature of the grant products that can reason-

ably be expected if the project is funded. In addition, a schedule of delivery dates of all products should be delineated.

6. What are the specific costs involved? The budget application should be presented clearly. Major budget categories such as personnel, fringe benefits, travel, equipment, supplies and indirect costs should be identified separately. “Other” costs should be addressed in detail in the budget narrative, and should not include set-asides for undefined contingencies. The budget is prepared on OJP Form 7150/1. When completing this form, applicants should ensure they separately list Federal funds from any other source of funding for each cost category.

7. How much detail should be included in the budget narrative? The narrative should describe how the applicant arrived at the numbers presented on OJP Form 7150/1. This is the place where all cost assumptions and other cost items that may need explanation can be detailed. For multi-year projects, applicants must include the full amount of NIJ funding for the entire life of the project, and provide a detailed breakout for each year of proposed funding. This amount should be reflected in item 15g on SF 424 and on the line for TOTAL PROJECT COSTS on the last page of OJP Form 7150/1. When appropriate, applications should include justification of consultants and a full explanation of daily rates for any consultants proposed. To avoid common shortcomings of application budget narratives, include the following information:

- Personnel estimates that accurately provide the amount of time to be spent by personnel involved with the project and the total associated costs, including current salaries for the designated personnel (e.g., Project Director, 50 percent of one year’s annual salary of \$50,000 = \$25,000). If salary costs are computed using an hourly or daily rate, the annual salary and number of hours or days in a work year should be shown.
- Estimates for supplies and expenses supported by a complete description of the supplies to be used, nature and extent of printing to be done, anticipated telephone charges, and other common expenditures, with the basis for computing the estimates included (e.g., 100 reports x 75 pages each x \$0.05/page = \$375.00). Supply and expense estimates offered simply as “based on experience” are not sufficient.

8. What travel regulations apply to the budget estimates? Transportation costs and per diem rates must comply with the policies of the applicant organization, and a copy of the applicant’s travel policy should be submitted as an appendix to the application. If the applicant does not have a travel policy established in writing, then travel rates must be consistent with those established by the Federal Government. The budget narrative should state which regulations are in force for the project and should include the estimated fare, the number of persons traveling, the number of trips to be taken, and the length of stay. The estimated costs of travel, lodging, ground transportation, and other subsistence should be listed separately. When combined, the subtotals for these categories should equal the estimate listed on the budget form.

9. What technical materials are required to be included in the application?

- A one-page abstract of the full proposal, highlighting the project’s purpose, methods, activities and, when known, the location(s) of field research.
- A program narrative, which is the technical portion of the proposal. It should include a clear, concise statement of the problem, goals, and objectives of the project and related questions to be explored. A discussion of the relationship of the proposed work to the existing literature is expected.
- A statement of the project’s anticipated contribution to criminal justice policy and practice. It is important that applicants briefly cite those particular issues and concerns of present-day criminal justice policy that stimulate the proposed line of inquiry and suggest what their own investigation would contribute to current knowledge.
- A detailed statement of the proposed research or study design and analytical methodologies. The proposed data sources, data collection strategies, variables and issues to be examined, and procedures of analysis to be employed should be delineated carefully and completely. When appropriate, experimental designs are encouraged because of their potential relevance to policy making and the strength of the evidence they can produce.
- The organization and management plan to conduct the study. A list of major milestones of events, activities, and products and a timetable for completion that indicates the time commitments to individual project tasks should be included. All grant activities, including writing of the final

report, should be completed within the duration of the award period.

- The applicant's curriculum vitae should summarize education, research experience, and bibliographic information related to the proposed work.

10. How may grant funds be used? Grant funds may be used to purchase or lease equipment essential to accomplishing the objectives of the project. The budget narrative must list such equipment and explain why the equipment is necessary. Funds may not be used for operating programs, writing texts or handbooks, training, etc.

11. To what extent may indirect costs be included in the budget estimates? It is the policy of the Institute that all costs should be budgeted directly; however, if an applicant has an indirect cost rate that has been approved by a Federal agency within the past two years, an indirect cost recovery estimate may be included in the budget. A copy of the approved rate agreement should be submitted as an appendix to OJP Form 7150/1 (see item 6). If an applicant does not have an approved rate agreement, the applicant should contact the Office of the Comptroller, Office of Justice Programs at (202) 307-0623, to obtain information about preparing an indirect cost rate proposal.

12. What, if any, matching funds are required? Units of State and local governments (not including publicly supported institutions of higher education) are encouraged to contribute a match (cash, noncash, or both) of requested funds. Other applicants also are encouraged to seek matching contributions from other Federal agencies or private foundations to assist in meeting the costs of the project.

13. Should other funding sources be listed? Applicants are expected to identify all other Federal, local, or private sources of support, including other NIJ programs, to which this or a closely related proposal has been or will be submitted. This information permits NIJ to consider the joint funding potential and limits the possibility of inadvertent duplicate funding. Applicants may submit more than one proposal to NIJ, but the same proposal cannot be submitted in more than one program area.

14. What are the deadlines? Deadlines for submission of proposals are September 16, 1996, and November 1, 1996.

15. Is there a page limit? The Institute has established a limit of 30 double-spaced pages (with font size not smaller than 12 point) for all grant applications. This page limit does not include references, budget narrative, curriculum vitae, forms, or necessary appendices. Applications for small grants (\$1,000 to \$50,000) are limited to 15 double-spaced pages. Proposals failing to conform to these page and font limitations will not be accepted.

16. What does the review process entail? After all applications for a competition are received, NIJ will convene a series of peer review panels of criminal justice professionals and researchers. NIJ will assign proposals to peer panels that it deems most appropriate. Panel members read each proposal and meet to assess the technical merits and policy relevance of the proposed research. Panel assessments of the proposals, together with assessments by NIJ staff, are submitted to the Director, NIJ, who has sole and final authority over approval of awards. The review normally takes 60 to 90 days, depending on the number of applications received.

17. What are the criteria for an award? The essential question asked of each applicant is, "If this effort were successful, how would criminal justice policies or operations be improved?" Evaluations will be based on the criteria described in the "Selection Criteria" section in this solicitation.

18. Are there any other considerations in selecting applications for an award? Projects should have a national impact or have potential relevance to a number of jurisdictions. Because of the broad national mandate of the National Institute of Justice, projects that address the unique concerns of a single jurisdiction should be fully justified. Projects that intend to provide services in addition to performing research are eligible for support, but only for the resources necessary to conduct the research tasks outlined in the proposal.

The applicant's performance on previous or current NIJ grants will also be taken into consideration in making funding decisions. Performance factors include not only the efficacy or previous or current projects, but also the thoroughness, timeliness and accuracy of all reporting requirements.

19. Who is eligible to apply? NIJ awards grants to, or enters into cooperative agreements with, educational insti-

tutions, nonprofit organizations, public agencies, individuals, and profit making organizations that are willing to waive their fees. Where appropriate, special eligibility criteria are indicated in the solicitation.

20. Does NIJ accept resubmission of proposals?

The Institute will accept resubmission of a previously rejected proposal. The applicant should indicate on Question 8, SF 424, that the application is a **revision**. The applicant should also include this information in the abstract. Finally, the applicant should prepare a one-page response to the earlier panel review (to follow the abstract) including: (1) the title, submission date, and NIJ-assigned application number of the previous proposal; and (2) a brief summary of responses to the review and/or revisions to the proposal.

Requirements for Award Recipients

Required products. Each project is expected to generate tangible products of maximum benefit to the law enforcement, courts and corrections community. In particular, NIJ strongly encourages efforts that provide products or information of practical utility to law enforcement officials; prosecutors; judges; corrections officers; victims services providers; and Federal, State, county, and local elected officials.

Research report products should include:

- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform. The material should be written in a style that will be accessible to policy officials and practitioners and suitable for possible publication as an NIJ Research in Brief. An NIJ editorial style guide is sent to each project director at the time of the award.
- A full technical report, including a discussion of the research question, review of the literature, description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- Clean copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the NIJ publication, *Depositing Data with the Data Resources Program of the National Institute of Justice: A Handbook*.
- Brief project summaries for NIJ use in preparing annual reports to the President and the Congress.

As appropriate, additional products such as case studies and interim and final reports (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Public Release of Automated Data Sets

NIJ is committed to ensuring the public availability of research data and to this end established its Data Resources Program in 1984. All NIJ award recipients who collect data are required to submit a machine-readable copy of the data and appropriate documentation to NIJ prior to the conclusion of the project. The data and materials are reviewed for completeness. NIJ staff then create machine-readable data sets, prepare users' guides, and distribute data and documentation to other researchers in the field. A variety of formats are acceptable; however, the data and materials must conform with requirements detailed in *Depositing Data With the Data Resources Program of the National Institute of Justice: A Handbook*. A copy of this handbook is sent to each project director at the time of the award. For further information about NIJ's Data Resources Program, contact Dr. James Trudeau at (202) 307-1355.

Reporting Requirements

NIJ expects individuals and institutions receiving its support to work diligently and professionally toward completing a high-quality research or study product. Besides this general expectation, the Institute imposes specific requirements to ensure that proper financial and administrative controls are applied to the project. Financial and general reporting requirements are detailed in the Office of Justice Program's *Financial Guide*. This manual provides policy guidance and controls, and is sent to recipient institutions with the award documents. Project directors and recipient financial administrators should pay particular attention to the requirements in this document.

Audit requirements.

State and local governments are governed by the Single Audit Act of 1984 and OMB Circular A-128, "Audits of State and Local Governments." The audit requirements are as follows:

- If the organization receives \$100,000 or more per year in Federal funds, an organization-wide financial and compliance audit is required.

- If the organization receives between \$25,000 and \$100,000 per year in Federal funds, the organization may elect to have an organization-wide audit or program audit.
- If the organization receives less than \$25,000 per year in Federal funds, the organization is exempt from the audit requirement.

Nonprofit organizations and institutions of higher education are governed by the Single Audit Act of 1984 and OMB Circular A-133, "Audits of Institutions of Higher Education and Other Nonprofit Institutions." The audit requirements are as follows:

- If the organization receives \$300,000 or more per year in Federal funds, an organization-wide financial and compliance audit is required.
- If the organization receives less than \$300,000 per year in Federal funds, the organization is exempt from the audit requirement.

Commercial (for-profit) organizations are required to have financial and compliance audits performed by qualified individuals who are independent from those who authorize the expenditure of Federal funds. This audit must be performed in accordance with Government Auditing Standards. The audit thresholds contained in OMB Circular A-133 (as described above) apply.

Financial status reports. Financial status reports (SF 269A) are due quarterly on the 45th day following the end of each calendar quarter. A report must be submitted every quarter the award is active. The final report is due 120 days after the end date of the award. The Office of the Comptroller, Office of Justice Programs, will provide a copy of this form in the initial award package.

Progress Reports. NIJ Program Managers must be kept informed of research progress. Written progress reports are required on a semi-annual basis and should inform the Program Manager of which tasks have been completed and whether significant delays or departures from the original work plan are expected. The first progress report should cover the period from the beginning date of the project through the end of the first **complete** quarter (quarters are January 1-March 31, April 1-June 30, July 1-September 30, and October 1-December 31). Subsequent progress reports should cover the next two quarters.

All progress reports are due 30 days following the end of the reporting period. For example, if a grant is awarded in May, the first progress report would cover the rest of the current quarter (through June 30) and the first complete quarter (July 1- September 30) and would be due October 31; the second progress report would cover the next two quarters (October 1-December 31 and January 1-March 31) and would be due April 30.

Standards of Performance by Recipients

Conditions for suspension or termination of funding. The National Institute of Justice may suspend, in whole or in part, terminate funding for, or impose another sanction on a recipient for the following reasons:

- Failure to comply substantially with the requirements or statutory objectives of the Omnibus Crime Control and Safe Streets Act of 1968, as amended; the Anti-Drug Abuse Act of 1988; program guidelines issued thereunder, or other provisions of Federal law;
- Failure to make satisfactory progress toward the goals or strategies set forth in this application;
- Failure to adhere to the requirements in the agreement, standard conditions, or special conditions;
- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding;
- Failure to submit reports; or
- Filing a false certification in this application or other report or document.

Before imposing sanctions, the National Institute of Justice will provide reasonable notice to the recipient of its intent to impose sanctions and will attempt informally to resolve the problem. Hearing and appeal procedures will follow those in U. S. Department of Justice regulations in 28 CFR part 18.

Program Monitoring

Award recipients and Principal Investigators assume certain responsibilities as part of their participation in government-sponsored research and evaluation. NIJ's monitoring activities are intended to help grantees meet these responsibilities. They are based on good communi-

cation and open dialogue, with collegiality and mutual respect. Some of the elements of this dialogue are:

- Communication with NIJ in the early stages of the grant, as the elements of the proposal's design and methodology are developed and operationalized.
- Timely communication with NIJ regarding any developments that might affect the project's compliance with the schedules, milestones, and products set forth in the proposal. (See statement on Timeliness, below.)
- Communication with other NIJ grantees conducting related research projects. An annual "cluster conference" should be anticipated and should be budgeted for by applicants at a cost of \$1,000 for each year of the grant.
- Providing NIJ on request with brief descriptions of the project in interim stages at such time as the Institute may need this information to meet its reporting requirements to Congress. NIJ will give as much advance notification of these requests as possible, but will expect a timely response from grantees when requests are made. NIJ is prepared to receive such communication through electronic media.
- Providing NIJ with copies of presentations made at conferences, meetings, and elsewhere based in whole or in part on the work of the project.
- Providing NIJ with prepublication copies of articles based on the project appearing in professional journals or the media, either during the life of the grant or after.
- Other reporting requirements (Progress Reports, Final Reports, and other grant products) are spelled out elsewhere in this section. Financial reporting requirements will be described in the grant award documents received by successful applicants.

Timeliness

Grantees are expected to complete award products within the time frames that have been agreed upon by NIJ and the grantee. The Institute recognizes that there are legitimate reasons for project extensions. However, NIJ does not consider the assumption of additional research projects that impinge upon previous time commitments as legitimate reasons for delay. Projects with unreasonable delays can be terminated administratively. In this situation, any funds remaining are withdrawn. Future applica-

tions from either the project director or the recipient institution are subject to strict scrutiny and may be denied support based on past failure to meet minimum standards.

Publications

The Institute encourages grantees to prepare their work for NIJ publication. In cases where grantees disseminate their findings through a variety of media, such as professional journals, books, and conferences, copies of such publications should be sent to the Program Manager as they become available, even if they appear well after a project's expiration. NIJ imposes no restriction on such publications other than inclusion of the following acknowledgment and disclaimer:

This research was supported by grant number _____ from the National Institute of Justice. Points of view are those of the author(s) and do not necessarily represent the position of the U.S. Department of Justice.

Data Confidentiality and Human Subjects Protection

Research that examines individual traits and experiences plays a vital part in expanding our knowledge about criminal behavior. It is essential, however, that researchers protect subjects from needless risk of harm or embarrassment and proceed with their willing and informed cooperation. NIJ requires that investigators protect information identifiable to research participants. When information is safeguarded, it is protected by statute from being used in legal proceedings:

"[S]uch information and copies thereof shall be immune from legal process, and shall not, without the consent of the person furnishing such information, be admitted as evidence or used for any purpose in any action, suit, or other judicial, legislative, or administrative proceedings" (42 United States Code 3789g).

Applicants should file their plans to protect sensitive information as part of their proposal. Necessary safeguards are detailed in 28 Code of Federal Regulations (CFR), Part 22.

In addition, the U.S. Department of Justice has adopted Human Subjects policies similar to those established by the U.S. Department of Health and Human Services. If an Institutional Review Board is necessary for this project, a copy of the Board's approval must be submitted to the National Institute of Justice prior to the initiation of data collection. Researchers are encouraged to review 28 CFR Part 46, § 46.101 to determine their individual project requirements.

Application Forms

Standard Form 424 (REV 4-88)
Prescribed by OMB Circular A-102

INSTRUCTIONS FOR THE SF 424

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:	Entry:	Item:	Entry:
1.	Self-explanatory.	12.	List only the largest political entities affected (e.g., State, counties, cities).
2.	Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).	13.	Self-explanatory.
3.	State use only (if applicable).	14.	List the applicant's Congressional District and any District(s) affected by the program or project.
4.	If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.	15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate <u>only</u> the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
5.	Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
7.	Enter the appropriate letter in the space provided.	18.	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)
8.	Check appropriate box and enter appropriate letter(s) in the space(s) provided: —“New” means a new assistance award. —“Continuation” means an extension for an additional funding/budget period for a project with a projected completion date. —“Revision” means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.		
9.	Name of Federal agency from which assistance is being requested with this application.		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.		
11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.		

Name/Position	Computation	Cost
TOTAL		

C. Travel - Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and the unit costs involved. Identify the location of travel, if known.

Purpose of Travel	Location	Item	Computation	Cost
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TOTAL_____

D. Equipment - List non-expendable items that are to be purchased. Non-expendable equipment is tangible property having a useful life of more than two years and an acquisition cost of \$5,000 or more per unit. Expendable items should be included either in the “supplies” category or in the “Other” category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the “Contractual” category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

Item	Computation	Cost
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TOTAL_____

E. Supplies - List items by type (office supplies, postage, training materials, copying paper, and expendable equipment items costing less than \$5,000, such as books, hand held tape recorders) and show the basis for computation. Generally, supplies include any materials that are expendable or consumed during the course of the project.

Supply Items	Computation	Cost
		TOTAL

F. Construction - As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable. Check with the program office before budgeting funds in this category.

Purpose	Description of Work	Cost
		TOTAL

G. Consultants/Contracts

Consultant Fees: For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$250 per day require additional justification.

Name of Consultant	Service Provided	Computation	Cost
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Subtotal_____

Consultant Expenses: List all expenses to be paid from the grant to the individual consultants in addition to their fees (i.e., travel, meals, lodging, etc.)

Item	Location	Computation	Cost
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Subtotal_____

Contracts: Provide a description of the product or service to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

Item	Cost
------	------

Subtotal_____

TOTAL_____

(H) Other Costs - List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, or provide a monthly rental cost and how many months to rent.

(I) Indirect Costs - Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval, (a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct cost categories.

Description	Computation	Cost
		TOTAL

Budget Summary- When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal funds requested and the amount of non-Federal funds that will support the project.

Budget Category	Amount
A. Personnel	_____
B. Fringe Benefits	_____
C. Travel	_____
D. Equipment	_____
E. Supplies	_____
F. Construction	_____
G. Consultants/Contracts	_____
H. Other	_____
Total Direct Costs	_____
I. Indirect Costs	
TOTAL PROJECT COSTS	_____
Federal Request	_____
Non-Federal Amount	_____

ASSURANCES

The Applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-110, A-122, A-128, A-87; E.O. 12372 and Uniform Administrative Requirements for Grants and Cooperative Agreements—28 CFR, Part 66, Common Rule, that govern the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
3. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 USC 1501, et seq.)
4. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act if applicable.
5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or give the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
6. It will give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
7. It will comply with all requirements imposed by the Federal Sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
8. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed in the Environmental protection Agency's (EPA-list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
9. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that had been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
10. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470), Executive Order 11593, and the Archeological and Historical Preservation Act of 1966 (16 USC 569a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.
11. It will comply, and assure the compliance of all its subgrantees and contractors, with the applicable provisions of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1; and all other applicable Federal laws, orders, circulars, or regulations.
12. It will comply with the provisions of 28 CFR applicable to grants and cooperative agreements including Part 18, Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.
13. It will comply, and all its contractors will comply, with the nondiscrimination requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3789(d), or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Subtitle A, Title II of the Americans With Disabilities Act (ADA) (1990); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Justice Non-Discrimination Regulations, 28 CFR Part 42, Subparts C, D, E, and G; and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39.
14. In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs.
15. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for \$500,000 or more.
16. It will comply with the provisions of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 et seq.) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.

Signature

Date



U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS
OFFICE OF THE COMPTROLLER

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510—

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a

public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67 Sections 67.615 and 67.620—

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about—

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

Section 67, 630 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for Department of Justice funding. States and State agencies may elect to use OJP Form 4061/7.

Check ☐ if the State has elected to complete OJP Form 4061/7.

DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67; Sections 67.615 and 67.620—

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date



U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS

ACCOUNTING SYSTEM AND FINANCIAL CAPABILITY QUESTIONNAIRE

SECTION A: PURPOSE

The financial responsibility of grantees must be such that the grantee can properly discharge the public trust which accompanies the authority to expend public funds. Adequate accounting systems should meet the following criteria as outlined in the OJP guideline manual entitled, "Financial and Administrative Guide for Grants."

- (1) Accounting records should provide information needed to adequately identify the receipt of funds under each grant awarded and the expenditure of funds for each grant, for each action program covered by a State's grants and for each subgrant awarded by the State.
- (2) Entries in accounting records should refer to subsidiary records and/or documentation which support the entry and which can be readily located.
- (3) The accounting system should provide accurate and current financial reporting information.
- (4) The accounting system should be integrated with an adequate system of internal controls to safeguard the funds and assets covered, check the accuracy and reliability of accounting data, promote operational efficiency, and encourage adherence to prescribed management policies.

SECTION B: GENERAL

1. If your firm publishes a general information pamphlet setting forth the history, purpose and organizational structure of your business, please provide this office with a copy; otherwise, complete the following items:

a. When was the organization founded/ incorporated? (<i>month, day, year</i>)	b. Principal Officers	Titles
	_____	_____
c. Employer Identification Number:	_____	_____
d. Number of Employees Full Time: Part Time:	_____	_____

2. Is the firm affiliated with any other firm? ☐ Yes ☐ No
If "yes", provide details:

3. Total Sales/Revenues in most recent accounting period. (*12 months*)
\$

SECTION C: ACCOUNTING SYSTEM

1. Has any Government Agency rendered an official written opinion concerning the adequacy of the accounting system for the collection, identification and allocation of costs under Federal contracts/grants? ☐ YES ☐ NO

a. If yes, provide name and address of Agency performing review:

b. Attach a copy of the latest review and any subsequent correspondence, clearance documents, etc.

Note: If review occurred within the past three years, omit questions 2-9 of this Section and Section D.

2. Which of the following best describes the accounting system? ☐ Manual ☐ Automated ☐ Combination

3. Does the organization use a double-entry system in accounting for program funds? ☐ Yes ☐ No ☐ Not Sure

4. Does the accounting system identify the receipt and expenditures of program funds separately for each contract/grant? ☐ Yes ☐ No ☐ Not Sure

5. Does the accounting system provide for the recording of expenditures for each grant/contract by the component project and budget cost categories shown in the approved budget? ☐ Yes ☐ No ☐ Not Sure

6. Are time distribution records maintained for an employee when his/her effort can be specifically identified to a particular cost objective? ☐ Yes ☐ No ☐ Not Sure

7. If the organization proposes an overhead rate, does the accounting system provide for the segregation of direct and indirect expenses? ☐ Yes ☐ No ☐ Not Sure

8. Does the accounting/financial system include budgetary controls to preclude incurring obligations in excess of:

- | | | | |
|---|------------------------------|-----------------------------|-----------------------------------|
| a. Total funds available for a grant? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> Not Sure |
| b. Total funds available for a budget cost category (e.g. Personnel, Travel, etc.)? | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> Not Sure |

9. Is the firm generally familiar with the existing regulations and guidelines containing the cost principles and procedures for the determination and allowance of costs in connection with Federal contracts/grants? ☐ Yes ☐ No ☐ Not Sure

SECTION D: FUND CONTROL			
1. Is a separate bank account maintained for grant/contract funds?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Not Sure
2. If Federal grant/contract funds are commingled with organization funds, can the Federal grant funds and related costs and expenses be readily identified?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Not Sure
3. Are the officials of the firm bonded?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Not Sure
SECTION E: FINANCIAL STATEMENTS			
1. Did an independent certified public accountant (CPA) ever examine the financial statements?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
2. If an independent CPA review was performed please provide this office with a copy of their latest report and any management letters issued.	<input type="checkbox"/> Enclosed	<input type="checkbox"/> N/A	
3. If an independent CPA was engaged to perform a review and no report was issued, please provide details and an explanation below:			
4. If an independent CPA has never examined your financial statements, please develop and provide this office with a copy of the following financial statements: a. A detailed "Balance Sheet" for the most current and previous year; and b. A detailed "Income Statement" for the most current and previous year.			
SECTION F: ADDITIONAL INFORMATION			
1. Use this space for any additional information (<i>indicate section and item numbers if a continuation</i>)			
SECTION G: APPLICANT CERTIFICATION			
I certify that the above information is complete and correct to the best of my knowledge.			
1. Signature		b. Firm Name, Address, and Telephone Number	
a. Title		c. Application Identifier Number	
SECTION H: CPA CERTIFICATION			
The purpose of the CPA certification is to assure the Federal agency that the recipient can establish fiscal controls and accounting procedures which assure that Federal and State/local funds available for the conduct of the grant programs and projects are disbursed and accounted for properly.			
1. Signature		b. Firm Name, Address, and Telephone Number	
a. Title			

PUBLIC REPORTING BURDEN FOR THIS COLLECTION OF INFORMATION IS ESTIMATED TO AVERAGE 4 HOURS PER RESPONSE, INCLUDING THE TIME FOR REVIEWING INSTRUCTIONS, SEARCHING EXISTING DATA SOURCES, GATHERING AND MAINTAINING THE DATA NEEDED, AND COMPLETING AND REVIEWING THE COLLECTION OF INFORMATION. SEND COMMENTS REGARDING THIS BURDEN ESTIMATE OR ANY OTHER ASPECTS OF THIS COLLECTION OF INFORMATION, INCLUDING SUGGESTIONS FOR REDUCING THIS BURDEN, TO THE OFFICE OF THE COMPTROLLER, OFFICE OF JUSTICE PROGRAMS, U.S. DEPARTMENT OF JUSTICE, WASHINGTON, D.C. 20531; AND TO THE PUBLIC USE REPORTS PROJECT, 1121-0021, OFFICE OF INFORMATION AND REGULATORY AFFAIRS, OFFICE OF MANAGEMENT AND BUDGET, WASHINGTON, D.C. 20503.

National Institute of Justice

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Dear Program Manager:

I intend to apply for funds under this solicitation. I expect to apply under the following categories (check all that apply):

- _____ 1. General Technology Thrust Areas
- _____ 2. Special Projects
- _____ 3. Behavioral and Organizational Impact
- _____ 4. Creative Technology Solutions

Name _____

Address _____

Telephone _____



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National Institute of Justice
Solicitation for Law Enforcement, Courts, and Corrections
Technology Development, Implementation and Evaluation
Office of Science and Technology, Room 903
633 Indiana Avenue N.W.
Washington, DC 20531

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For more information on the National Institute of Justice, please contact:

National Criminal Justice Reference Service

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800-851-3420
e-mail: askncjrs@ncjrs.org

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Gopher to ncjrs.org:71

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